

REPORT ON IMPROVING INTERAGENCY SUPPORT FOR UNITED STATES 21<sup>ST</sup>  
CENTURY NATIONAL SECURITY MISSIONS AND INTERAGENCY OPERATIONS IN  
SUPPORT OF STABILITY, SECURITY, TRANSITION, AND RECONSTRUCTION  
OPERATIONS

June 2007

Report to Congress  
Submitted Consistent with Section 1035 of the John Warner  
National Defense Authorization Act for Fiscal Year 2007 (P.L.  
109-364)

Report Documentation Page				Form Approved OMB No. 0704-0188	
Public reporting burden for the collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to a penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.					
1. REPORT DATE <b>JUN 2007</b>		2. REPORT TYPE		3. DATES COVERED <b>00-00-2007 to 00-00-2007</b>	
4. TITLE AND SUBTITLE <b>Report on Improving Interagency Support for United States 21st Century National Security Missions and Interagency Operations in Support of Stability, Security, Transition, and Reconstruction Operations</b>				5a. CONTRACT NUMBER	
				5b. GRANT NUMBER	
				5c. PROGRAM ELEMENT NUMBER	
6. AUTHOR(S)				5d. PROJECT NUMBER	
				5e. TASK NUMBER	
				5f. WORK UNIT NUMBER	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) <b>Department of Defense, Washington, DC, 20007</b>				8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES)				10. SPONSOR/MONITOR'S ACRONYM(S)	
				11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
12. DISTRIBUTION/AVAILABILITY STATEMENT <b>Approved for public release; distribution unlimited</b>					
13. SUPPLEMENTARY NOTES					
14. ABSTRACT					
15. SUBJECT TERMS					
16. SECURITY CLASSIFICATION OF:			17. LIMITATION OF ABSTRACT <b>Same as Report (SAR)</b>	18. NUMBER OF PAGES <b>31</b>	19a. NAME OF RESPONSIBLE PERSON
a. REPORT <b>unclassified</b>	b. ABSTRACT <b>unclassified</b>	c. THIS PAGE <b>unclassified</b>			

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## **Executive Summary**

The United States Government is taking steps to organize and resource for critical national security missions of the 21<sup>st</sup> century and successfully integrate civilian and military activities. The United States Government must enhance its nascent capacity in almost all aspects of civilian contribution to interagency operations (i.e., planning, preparing for, and conducting such activities) and is developing capabilities to synchronize efforts across the government to ensure unity of effort.

Many initiatives are underway to address these needs. For example, the President issued a directive to empower the Secretary of State to improve coordination, planning, and implementation of reconstruction and stabilization efforts in foreign states and regions at risk of, in, or in transition from conflict or civil strife, and other initiatives include Foreign Assistance reform, Department of State/USAID Mission Strategic Planning efforts, and the examination of the need for broader national security reform. The United States Government is making progress and will continue to develop more robust capabilities and capacities to meet current national security challenges of weak and failing states and ungoverned areas that are exploited by those opposed to the United States Government's interests and security.

The key principles listed below characterize the capabilities that are being developed as United States Government organizations are transformed:

- Strategy-driven and planned, not reactive;
- Flexible and agile to allow for responses to emerging threats and opportunities faster than U.S. adversaries;
- Coordinated, if not centralized in some cases, to ensure unity of effort;
- Appropriately resourced; and
- Operationally focused and rapidly deployable.

Key requirements for meeting current challenges include:

- Enhanced Strategy & Planning -- Whole-of-government regional and country strategies; whole-of-government functional strategies to support preventative activities and develop a common picture and strategic framework; steady-state, continuous planning across the United States Government for

contingencies; and interagency crisis action planning processes at multiple levels that link strategy to resources.

- Experienced & Resourced Civilian Leadership -- Capacity to create and oversee the execution of whole-of-government, strategy-driven plans; rapidly deployable and trained civilian capacity to lead and support the conduct of operations.
- Flexible & Immediate Funding -- Resources and authorities for rapid deployment and execution of programs to seize opportunities and mitigate emerging threats.

This report will examine current efforts underway across the United States Government to develop needed capabilities and capacities. Reports that bear on similar issues include the report to Congress submitted pursuant to section 1206 of the National Defense Authorization Act for Fiscal Year 2006 and a report provided by the Department of Defense (DOD) to the House Armed Services Committee on implementation of DOD Directive 3000.05.

## **I. Introduction**

Section 1035 of the John Warner National Defense Authorization Act for Fiscal Year 2007 provides a Presidential reporting requirement on "building interagency capacity and enhancing the integration of civilian capabilities of the executive branch with the capabilities of the Armed Forces to enhance the achievement of United States national security goals and objectives".

This report will provide an overview of efforts to enhance and integrate capabilities and successes already achieved, highlighting areas of focus and key, actionable recommendations for the way ahead. As the United States Government contends with improving current efforts in Iraq and Afghanistan, it should not be forgotten that improved capabilities are not just for the present; the United States has been conducting these types of missions in the past and will continue to do so in the future. These capabilities cannot be built in the midst of the next crisis; the process is ongoing and must be supported.

A fundamental assumption underscores this report: the processes, toolkits, skills, and resources that must be enhanced in order to support the War on Terror are inexorably linked to those national security activities needed to ensure stabilization of strategic areas of the world. These activities form a related mission set because at the heart of these missions are the challenges of stabilizing weak or failing states and ungoverned areas and the threats posed by non-state actors who seek to exploit them in opposition to U.S. strategic interests. United States Government success in these operations (ranging from major foreign disaster response to reconstruction and stabilization to counterinsurgency) will depend upon how well it:

- 1) Focuses on the affected population and the legitimacy/capacity of its government;
- 2) Builds host nation and international partner capacity and cooperation to support the missions;
- 3) Effectively addresses the causes of conflict and instability; and
- 4) Achieves and maintains unity of effort across the United States Government.

Focusing on the population is critical since it is the population that may provide the base of support critical to adversaries the United States Government might face in failing states or ungoverned areas. Enemy elements draw their legitimacy and political support from the host population. It is the non-kinetic activities (e.g., building host nation governance capacity; bridging ethnic divides; improving economic opportunity; establishing effective criminal justice systems, including civilian police, prosecutors, courts, and prisons; training security forces, etc.) that are best used to shift legitimacy and public support from enemy elements to host nation governance. Kinetic activities are best used to target the enemy directly.

A focus on building international and host nation partner capacity and cooperation allows the United States Government effort to work most effectively within a global context of response. A wide range of critical international efforts to build this collaboration are ongoing. Efforts at the U.N., EU, NATO, G-8, and a range of regional organizations are also focusing on integrating responses across sectors and actors. Only a multi-sectoral approach addressing the underlying economic, social, and political drivers that precipitate violent conflict and threaten host-nation ability to provide security will set the foundations of lasting stability. Such a method requires a significant level of integration in planning and operations across the United States Government and effective coordination with international partners. This is the "whole-of-government" effect.

In recognition of the need for these changes, in 2004, the Secretary of State created the Office of the Coordinator for Reconstruction and Stabilization (S/CRS) at the Department of State. In December 2005, the President issued a directive on the management of interagency efforts concerning reconstruction and stabilization (R&S) and tasked all U.S. Departments and Agencies to participate in the process to improve United States Government capabilities for R&S missions. This report will examine United States Government R&S activities, including efforts within the Department of Defense (DOD), Department of State, U.S. Agency for International Development (USAID), and other Departments and Agencies as well as related interagency projects to build up civilian capacity and whole-of-government approaches. The capabilities the United States Government is working to develop can be adapted for and reinforce a broad range of national security missions.

Notwithstanding successes to date in harnessing all elements of national power to support R&S missions, there is always room for improvement. Success will require not only integration of existing capabilities, but the creation of new ones:

- Military forces must become more capable of supporting non-kinetic missions, integrating non-kinetic activities into traditional combat missions, and performing non-kinetic missions when necessary.
- Civilian agencies must focus on becoming more operational, expeditionary, and capable of planning for and executing contingency responses.
- Military forces and civilian agencies must make use of joint strategies, plans, and operational approaches to ensure reinforcing effects at all levels.

The United States Government continues to make progress and strengthen capacity to better organize, resource, plan, prepare for, and conduct these R&S operations.



## **II. Organize**

Improving the United States Government's organizational structures for meeting the critical national security missions of the 21<sup>st</sup> century is underway. Key agencies have bolstered office roles and responsibilities to improve the government's focus on these issues. In addition, several efforts are underway linking and coordinating the activities of these offices and the broader interagency structure to focus on reconstruction and stabilization, counterterrorism, counterinsurgency, and other national security missions.

### **Roles & Responsibilities**

As established first by the Secretary of State and subsequently under section 408 of the Consolidated Appropriations Act of 2005 (P.L. 108-447), the Department of State's Coordinator for Reconstruction and Stabilization (S/CRS) has the authority to catalog and monitor non-military resources and capabilities and to coordinate the development of contingency plans and training of civilian personnel for effective reconstruction and stabilization (R&S) activities. The Presidential directive on reconstruction and stabilization efforts further empowers the Secretary of State to coordinate whole-of-government R&S planning and operations and to choose to appoint a Coordinator to manage those efforts.

Recognizing the close relationship between the work of the Office of the Director of U.S. Foreign Assistance at the Department of State and the work of the Coordinator, as well as the need for effective planning for and execution of R&S activities, Secretary Rice has recently aligned S/CRS with the Office of the Director of U.S. Foreign Assistance, dual-hatting the Coordinator as a Deputy Director of Foreign Assistance. The Coordinator will also continue to have a direct reporting relationship to the Secretary in accordance with statutory requirements. These alignments and relationships will assist in the S/CRS mission to coordinate the integration of diplomatic, defense, development, intelligence, and economic tools of the United States Government in countries at risk of, in, or in transition from conflict and instability.

- S/CRS is organized to build civilian capacity through training, development of planning and best practice tools, exercises and experiments with the military, and establishment of the Department of State's Active and Standby Response Corps of officials prepared to deploy.

- The office engages in whole-of-government planning processes for a range of countries at risk of, in, or in transition from conflict. These country engagements have included deployments of expert personnel to R&S engagements such as Darfur/Chad, Nepal, Afghanistan, Lebanon, Haiti, and Kosovo.
- As S/CRS acquires new staff, it plans to assume responsibility for the budget process for countries in the Rebuilding category (per the new foreign assistance framework) undergoing R&S challenges.
- An Interagency Management System for Reconstruction and Stabilization (IMS) (discussed further in Section VI: Conduct) provides a framework for interagency cooperation in an R&S crisis. When the IMS is triggered, S/CRS's planning and operations staff have the responsibility to provide core teams, as required, in Washington, at the military operational command level, and in the affected country.

Other offices within the Department of State are focused on regional issues, transformation of foreign assistance, security cooperation, and counterterrorism work in partnership with S/CRS. All other key Departments and Agencies have designated offices to provide coordination in the process and work within the Reconstruction & Stabilization Policy Coordinating Committee to oversee the capacity development process.

Although there is no single entity presently resourced and directed to fulfill the role of executing, managing, and overseeing the range of activities required to prepare civilian capacity and manage response, the President has directed the Secretary of State and the United States Government to develop ways to operate to achieve unity of effort. S/CRS's recent alignment of its operational capacity with the budgetary authorities of the Office of the Director of U.S. Foreign Assistance is a positive development in this direction.

### **Interagency Structures and Coordination Processes**

The President has directed the Secretary of State to coordinate the United States Government response to R&S operations in foreign states and regions at risk of, in, or in transition from conflict or civil strife. Directed by the Secretary of State to lead this effort, S/CRS worked with representatives from key Departments and Agencies to develop a workplan, which guides interagency R&S efforts.

- The execution of this workplan will improve the United States Government's ability to plan, prepare for, and conduct integrated, whole-of-government R&S missions.
- The process consists of identifying and prioritizing requirements and gaps in civilian surge capacity, funding, and planning; delineating roles and responsibilities across agencies; and creating an interagency management system for R&S based on common principles and planning systems to ensure synchronization of R&S operations.
- We will work with Congress to ensure these transformational efforts remain strategically focused and sufficiently resourced.
- Several key actions of this workplan have already been completed to define and develop approaches for planning, preparing, and conducting the United States Government response to R&S challenges.

The Administration is developing the budget and legislative package deemed necessary to further the President's R&S objectives.

Increasing stability operations capabilities within DOD is essential to conducting major combat operations, winning the War on Terror, and advancing U.S. national security interests in the 21st century. To address these challenges, DOD Directive 3000.05 directs DOD to ensure that stability operations are "given priority comparable to [major] combat operations."

- DOD Directive 3000.05 is designed to complement and support the President's objectives by making DOD a better partner in the interagency process.
- In addition, through the 2006 Quadrennial Defense Review, DOD senior leadership identified a diverse set of issues requiring action and addressed them in depth in the roadmaps for Irregular Warfare, Building Partnership Capacity, Strategic Communications, and Authorities.
- All of these efforts are well underway with extensive interagency and multinational coordination. A more extensive report to Congress on the implementation of DOD Directive 3000.05 is forthcoming.

Related interagency efforts focused on counterinsurgency and counterterrorism also highlight key actions and best practices that are being coordinated with the United States Government's broader R&S efforts.

### III. Resources

To increase the likelihood of success, the organizational structures to build the capacity to conduct national security missions require appropriate authorities and resources. There are several initiatives underway to develop recommendations for the authorities and budgets required to meet the national security challenges of the 21<sup>st</sup> century. The national security threats of today are broader than the scope of expertise of any individual Executive branch department or agency or Congressional committee; they require strategic-level integration of efforts across the Executive branch and Congressional Committees.

#### Authorities

The authorities of the Secretary of State to manage foreign relations, foreign assistance, and the foreign service provide the foundation for a coordinated interagency response. There are numerous flexible authorities for crisis and emergency response funding, including drawdown, transfer of funds, temporary hiring, and use of other agencies to implement various forms of assistance. These authorities have been used extensively and flexibly; however, they have proven in some cases to be insufficiently funded. Additional resources and mechanisms are needed to facilitate integrated action to meet new security challenges and to allow for the rapid deployment and agile management and allocation of resources to meet field requirements that continuously evolve in response to changes on the ground.

The Administration has requested from time to time new or modified targeted supplementary authorities in several pieces of legislation including provisions to the Foreign Relations Authorization Act (that would modify the Foreign Assistance Act and State Basic Authorities act), the National Defense Authorization Acts, and requests for appropriations for the Department of State foreign operations and operating budgets. Several authorities have been granted through various vehicles, and some have been included in draft bills by Congress<sup>1</sup>, but many still remain. The Administration is further reviewing any requirements to draw upon and deploy expertise from across the United States Government to meet emerging and immediate

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<sup>1</sup> 110<sup>th</sup> Congress: Civilian R&S (S.613 and H.R.1084); 109<sup>th</sup> Congress: Civilian R&S (S.3322 and H.R.1361), FY06 Foreign Affairs Authorization Bills (S.600 and H.R.2601), FY06 National Defense Authorization Act (P.L. 109-163)

requirements. The Administration will propose any needed additional resources and authorities, if necessary, to use those resources, as part of the regular legislative process. The range of requirements are described below.

### *Personnel<sup>2</sup>*

The recent United States Government deployments of civilians in large numbers to Iraq and Afghanistan have provided many examples of the responsiveness of United States Government employees and have relied upon many authorities for incentives and compensation. Additional authorities would facilitate hiring of non-government experts more systematically, allowing for:

- Flexible hiring of civilian experts for crisis response, including contractor, retiree, and temporary employees;
- Additional incentives and compensation authority for personnel operating in R&S environments;
- Building an interagency civilian surge capacity (personnel, training, equipment); and
- Establishing a "civilian reserve" that can be activated when additional personnel are required.

### *Funding*

The currently available emergency response funding accounts cover humanitarian and disaster assistance. Other accounts that can be used for governance, rule of law, or security assistance have in many cases the requisite authorities, including special "notwithstanding" language, but have not been sufficiently funded to meet unanticipated requirements not reflected in the budget. Reprogramming existing resources requires tradeoffs and negotiations within and between the Executive and Legislative branches, which can take too long for rapid response. Additional authorities would include:

- Flexible, emergency spending accounts for R&S activities to bridge until supplemental funding can be appropriated; and
- Ability to use resources from multiple Departments or Agencies to meet common objectives.<sup>3</sup>

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<sup>2</sup> Most remaining requirements are contained in S.613 which reflects some of the Administration proposals in the FY07 Foreign Relations Authorization bill, as well as other earlier proposals.

<sup>3</sup> For example, Section 1207 of P.L. 109-163.

### *Military Support to R&S Operations*

In order to leverage the capabilities of the military more effectively in R&S environments, additional authorities have been enacted yet additional authorities are needed. Certain of these authorities are geared toward ensuring integrated civilian-military efforts in support of overall strategic objectives. For example, the authority to train and equip partners' military and security forces has been enacted; we will have requested expansion of this authority.<sup>4</sup> (Note: Authorities related to security assistance and enhancing partner military capacity are covered in more detail in a report pursuant to Section 1206 of the National Defense Authorization Act for Fiscal Year 2006).

### **Budget Requirements**

The Department of State coordinates resources across United States Government departments and agencies both for the readiness and deployment of non-DOD United States Government personnel and for program activities. The Administration's FY 2009 budget request will be designed to integrate needs across the government to build capacity (people, tools, and processes) and to execute the President's objectives on R&S efforts.

There are several types of resources needed for effective response:

- Financial and personnel resources for the interagency management functions for planning and response; and
- Contingency funding for assistance programs.

In emerging from internal or external conflict, a critical priority is achieving the security conditions that provide a platform for social, economic, and political progress. At the same time, support for basic human needs, the establishment of institutions of governance, and foundations for economic growth are also necessary for securing peace and stability.

The critical shortage of funding for non-humanitarian responses to crises constrains the United States Government's ability to deploy rapidly and effectively allocate and manage resources for R&S. The unique nature of these crises requires that the Department of State, USAID, and other partner agencies be able

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<sup>4</sup> For example, Section 1206 of P.L. 109-163

immediately to target programming and/or deploy civilians to meet continuously changing field requirements. Such funds are also critical to avoid risk and re-escalation of violence and to facilitate the rebuilding process, while other resources that will be needed can be identified and requested through annual and supplemental budgets. Additional contingency mechanisms would provide more flexibility within the funding available, but without funds appropriated in advance for use in contingencies, civilian staffing and assistance activities will not be available promptly in the initial critical time period when popular expectations are high and there is the greatest opportunity to mitigate the crisis with effective use of timely resources.

The FY 2008 budget requests additional funding to strengthen further the Office of the Coordinator for Reconstruction and Stabilization, including:

- Personnel for response, including funding for training and deployments (for example, additional positions to build an Active Response Corps within the Department of State to ensure available, trained personnel can deploy quickly); and
- \$25 million for R&S activities.

With the support of Congress, foreign operations base appropriations have increased by 25 percent over the past six years, from approximately \$16.5 billion in 2000 to \$20.7 billion enacted in FY 2006. Secretary Rice has reformed foreign assistance organization, planning, and implementation in order to maximize the impact of our foreign assistance dollars to achieve United States Government foreign policy objectives and improve the lives of those around the world. When compared to the FY 2006 budget, resources for countries in the "rebuilding" phase have increased 28 percent.<sup>5</sup>

The Office of the Director of Foreign Assistance has developed a new Strategic Framework for U.S. Foreign Assistance, within which the Department of State and USAID are developing a fully-integrated process for foreign assistance policy, planning, budgeting, and implementation.

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<sup>5</sup> Excerpted from Department of State Congressional Budget Justification for Foreign Operations, pages xi and 1-3

#### **IV. Plan**

An interagency group focused on planning is developing an agreed-upon, whole-of-government capability for integrated, multi-level planning for R&S and conflict transformation. This development recognizes that civilian agencies need to conduct continuous, non-event-based planning at the strategic, operational, and tactical levels in order to be fully prepared for contingencies and to integrate effectively with the U.S. military. As part of this process, the group is establishing tools and processes for assessment and planning, developing a skilled cadre of interagency planners, and experimenting with civilian and military partners to refine and test planning processes and methods.

##### **Assessment Capabilities**

A critical first step for improved and integrated United States Government planning is a common assessment of instability and/or conflict or shared analysis of the challenge. Various methodologies and tools for analyzing the potential impact of intervention exist. As examples, two particular assessment methodologies have been developed in interagency environments (and are currently undergoing extensive experimentation). These are the Interagency Methodology to Assess Instability and Conflict (IMIC) and the Tactical Conflict Assessment Framework (TCAF).

- IMIC guides United States Government strategic planners through a systematic analysis of the existing conflict and actors and how various assistance activities are likely to affect the situation on the ground (in intended or unintended ways) in order to assist prioritization, confirmation, or modification of planned assistance accordingly.
- TCAF is for use at the tactical level with the U.S. military to help identify root causes of conflict in their area of responsibility and provide guidance on adjusting programming to address those causes more effectively.

Developments within the United States Government intelligence community also support assessment and planning activities. Increased focus on R&S considerations, especially human terrain and social-network mapping, will improve understanding of critical drivers of conflict and inform multiple levels of planning.



- The National Intelligence Council, as a result of a request from S/CRS and other interagency partners, publishes the classified NIC Watchlist of Countries at Risk of Instability every six months to lay out potential crises over a period of 5 years. Among other sources, the NIC list will serve to identify focus countries for whole-of-government prevention and contingency planning.

### **Strategic-Level Planning Capabilities**

Based on the principle that interagency planning should not occur solely in reaction to crises but should also address conflict prevention and state failure, whole-of-government planning for reconstruction, stabilization, and conflict transformation is divided into two categories:

1. Long-term planning for key potential crises in a 6-month to 3-year time horizon, and
2. Response planning for unforeseen crises.

When directed by the Secretary of State, strategic-level plans will be developed using the "United States Government Planning Framework for Reconstruction, Stabilization, and Conflict Transformation" (the "Framework") originally published in 2005, in use for several country engagements (for example, Kosovo, Haiti, and Sudan) and now under revision.

- The Framework provides a tool to create one United States Government strategic plan for an R&S mission by defining interagency goals, assigning agency responsibilities, setting priorities, and identifying necessary resources.
- This planning process is organized around achieving unity of the United States Government effort to address violent conflict on the ground and build the host nation's capacity to achieve lasting peace and stability.
- The Framework is built to increase interagency use of broader outcome and impact measures that indicate whether the United States Government is positively affecting events and perceptions on the ground.

### **Operational-level Planning Capabilities**

Once interagency strategic-level planning is underway, operational and tactical-level planning must occur and be integrated to ensure unity of effort across time, space, and purpose. Interagency representatives are now developing an iterative process, led by S/CRS, to synchronize Department and

Agency implementation-level planning (the civilian parallel of DOD's operational and higher tactical-level planning) to develop a comprehensive approach to achieve the United States Government strategic plan.

This whole-of-government interagency implementation planning process will:

- Identify additional planning requirements, potential impediments, and assumptions about the environment;
- Establish a timeline for implementation, prioritize tasks and cross-sector sequencing, and identify lead and supporting United States Government agencies;
- Identify requirements for authorities, resources, and logistics;
- Communicate feedback across the United States Government and provide monitoring and evaluation; and
- Make adjustments among users in Washington, Combatant Commands, Embassies, and field teams.

The methodology, process, and related tools for interagency implementation planning will be included in the pending revision of the "United States Government Planning Framework for Reconstruction, Stabilization, and Conflict Transformation."

### **Monitoring & Evaluation**

The development of a monitoring and evaluation methodology to measure the success of strategic, operational, and tactical objectives is an essential element of the planning process. On the strategic-level, the "United States Government Planning Framework for Reconstruction, Stabilization, and Conflict Transformation" emphasizes a consistent analytical approach of assessment, planning, metrics, and re-assessment, recognizing that it is imperative to test assumptions and monitor progress.

- The Framework emphasizes the collection and observation of data (both quantitative and qualitative), allowing policymakers to gain broad understanding of the trajectory of ongoing R&S efforts.
- This Framework builds on refinements within Agencies (particularly USAID) on monitoring and evaluating specific program performance at the operational and tactical levels and provides measures for the interagency effort as a whole.

- When employed, the elements of the Interagency Management System for Reconstruction and Stabilization (discussed further in Section VI: Conduct) will be responsible for monitoring and evaluation at various levels.
- The details of any monitoring and evaluation plan will be dependent upon the particular situation.

The Office of the Director of U.S. Foreign Assistance (F) has developed standard performance indicators to measure both what is being accomplished with U.S. foreign assistance funds and the collective impact of foreign and host-government efforts to advance country development. The Army Peacekeeping and Stability Operations Institute (PKSOI), in conjunction with S/CRS, USAID, U.S. Army Corps of Engineers, and the U.S. Institute for Peace, is working to establish a system of more detailed metrics for conflict transformation that will assist in formulating policy and implementing strategic plans to transform conflict and bring stability to war-torn societies.

- These metrics provide both a baseline assessment tool for policymakers to diagnose potential obstacles to stabilization prior to an intervention and an instrument for practitioners to track progress from the point of intervention through stabilization and ultimately to a self-sustaining peace.

### **Integration of Civilian & Military Planning**

One of the keys to successful planning for a range of national security missions will be the integration of civilian and military planning processes, systems, exercises, and products. Much improvement in this area has already been achieved and more can be expected. Several structures have been developed to support the integration of civilian and military plans at various levels:

- The Interagency Management System (IMS) for Reconstruction & Stabilization is specifically designed to integrate military and civilian planning at the Washington, Combatant Command, and Embassy/Joint Task Force levels.
- In particular, the triggering of the IMS allows for the deployment of an Integration Planning Cell (IPC) to the Combatant Command (or multinational headquarters) to ensure civilian and military operational-level plans are coordinated in support of the agreed-upon strategic plan. The IPC has been employed at U.S. Southern Command during three exercises between 2005 and 2007.

- Existing structures at the Combatant Commands will facilitate the operation of the IPC. Several Combatant Commands are exploring innovative ways to enhance day-to-day civil-military coordination, which will assist in integrating planning teams. In addition to Department of State POLADs, USAID is providing Senior Development Advisors to five Combatant Commands.
- Multiple United States Government Departments and Agencies have been deeply engaged in the concept development for DOD's Combatant Command for Africa, announced by President Bush on February 6, 2007.

To develop and test civilian-military planning processes further, an interagency Military Activities Review Team is working to engage civilian agencies more effectively in military experiments and exercises. The main focal points for these activities are Unified Action (UA) 2007-2008 and Multinational Experiment 5.

- UA 2007-2008 is a civilian-led experiment conducted in support of the NSPD-44 implementation process, focusing on refining interagency conflict assessment and interagency planning at the strategic and operational levels.
- S/CRS is also coordinating interagency input into the U.S. Joint Forces Command-led Multinational Experiment 5 experiment series, which includes participation by civilian and military actors.

In addition, civilian agencies have been invited to participate in military-planning activities in the early stages to influence the form and substance of existing major military contingency plans and defense planning scenario development. The purpose of this effort is to ensure that DOD plans are informed by and more consonant with the relevant strategies, priorities, policies, and programs of civilian agencies -- particularly in the realms of foreign policy and foreign assistance.

- In April 2006, the Department of State and Defense co-hosted the first Interagency Security Cooperation Conference, at which the most senior officials of both Departments discussed ways to integrate and reinforce respective activities and goals overseas more effectively.

## V. Prepare

Quality personnel are critical to the success of any organization or endeavor. The Administration has developed a strategy for enhancing United States Government civilian capacity to conduct R&S operations effectively, including plans and processes for:

- Expanding the number of personnel with the appropriate technical skills;
- Ensuring personnel are fully trained and equipped;
- Expeditiously mobilizing and deploying personnel; and
- Strengthening management, oversight, and reachback systems.

### Human Resource Management

To meet the requirements of conducting 21<sup>st</sup> century national security missions overseas most effectively, the United States Government must be able to leverage expertise currently resident within and outside of government. This demand has led to an identified need for a civilian expeditionary capability, linked by a central system to manage deployments.

This surge capability will draw upon United States Government civilian agency steady-state capacity to provide the necessary leadership and immediate response for an operation. Recognizing the limits of the size of surge capacity within the steady-state United States Government and the skill sets within the government, a mechanism must be developed to leverage expertise resident elsewhere. Therefore, to meet the needs of national security missions, the following three corps of personnel should be developed:

1. Active Response Corps (ARC): Full-time civilian agency employees who serve as first responders in a surge to support the management of a United States Government operation. Deploy immediately (within one week to 30 days) and serve for up to one year. Trained and equipped staff that are standing within agencies for the purpose of surge. Status: The Department of State component of this capacity, while small, currently exists at S/CRS. USAID has rapid responders within the Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA) within the Office of Transition Initiatives (OTI) and the Office of Foreign Disaster Assistance (OFDA).

2. Standby Response Corps (SRC) (or agency equivalent): Civilian agency employees who may serve as first responders as well but who have other ongoing responsibilities. SRC members are vetted and remain on an active roster that enables agencies to call them for their expertise when needed. Status: Standby capacity currently exists within Department of State, organized by S/CRS, through USAID mechanisms at OTI and OFDA and within the Department of the Treasury through the Office of Technical Assistance.
3. Civilian Reserve Corps (CRC): U.S. civilians with critical expertise not actively resident within the United States Government who are ready to be called into government service to act as experts and advisors to host government, international, and United States Government operations. Deploy in an intermediate timeframe (within 60 days) and serve for one to two years.<sup>6</sup> Status: S/CRS is leading development of the Civilian Reserve in coordination with other Departments and Agencies and in concert with Congress.

This personnel framework was developed to address agency and bureau capacity to recruit, select, backfill, train, equip, fund, and rapidly deploy personnel effectively and to manage them during their deployment to future missions. This capacity is currently limited by resources and staffing levels.

- Although the Department of State, USAID, and DOD are able to support large-scale operations overseas, other Departments and Agencies whose focus is mainly domestic are currently limited in their ability to contribute. Those Departments may have personnel with needed skills sets, but their domestic mandates require senior leadership to weigh the impact on their primarily domestic missions if priority is given to staffing a deployment.
- Domestically-focused agencies also may not have structures, numbers, or types of skills available to support large-scale overseas operations.
- Within the United States Government, only USAID's DCHA bureau is specifically mandated to have a pool of personnel prepared to surge in response to humanitarian emergencies. Bureaus

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<sup>6</sup> The Special Inspector General for Iraq Reconstruction (SIGIR) Human Capital Management Lessons Learned Report noted "the U.S. Government's critical need for a reserve civilian corps of talented professionals with the proper expertise, willing to work in a hostile environment during post-conflict stabilization and reconstruction periods. Such a contingency organization ideally would be identified, recruited, trained in advance, exercised regularly, and be ready...to deploy and meet the needs of conflict/post-conflict relief and reconstruction."

within the Departments of State, the Treasury, Justice, and USAID are able to hire personal service contractors (PSCs) to deploy which minimizes disruption to agency operations and provides for a broad range of expertise to be brought into the Federal Government's operations, although PSCs have limited authority. The Department of State has authority to hire PSCs overseas and separate authority to do so domestically.

In coordination with Secretary Rice's vision of Transformational Diplomacy, activity is underway to continue development of the required budget requirements and management structures to ensure successful recruitment, mobilization, and deployment of United States Government civilians both inside and outside the United States Government.

- Specific areas of focus include centralized systems to manage and support deployed civilians, revised career advancement systems that reward multi-disciplinary activities in hardship posts, and more agile recruiting mechanisms targeted at appropriate skills.

In this regard, S. 613, the Reconstruction and Stabilization Civilian Management Act of 2007, includes many of the authorities that would be useful to advance this agenda.

### **Training & Education**

Training and education efforts are becoming more coordinated, integrated, and standardized. To train personnel for Provincial Reconstruction Teams (PRT) in Iraq, USAID, DOD, and the Department of State are working together closely on the curriculum for joint training for the core-team members. USAID, the Department of State, and DOD are also carrying out joint training exercises for personnel deployed to Afghanistan as well as extensively supporting pre-deployment training specific to each agency.

Joint training has proven to be an invaluable mechanism for members of the different agencies to increase understanding of cultures, objectives, operating methods, best practices, and resources each brings to the field. S/CRS has developed and is presenting to an interagency and international audience five courses covering various aspects of R&S. It plans to develop another four courses in 2007.

- Although all these efforts are an important start, they currently fall short of meeting the growing training demand.
- United States Government Departments and Agencies have undertaken under relevant authorities the pursuit of

strengthened training linkages with international actors and several such international training efforts have already taken place.

Building on the lessons from these and other training activities, United States Government Departments and Agencies have partnered together in an effort to examine the training requirements for improved whole-of-government operations, specifically in support of R&S missions. Work is currently underway across the United States Government to develop a holistic training strategy.

- This strategy includes ongoing individual skills development, collective training in advance of deployment, pre-deployment and mission readiness training, in-theater training and reachback, and lessons learned and after-action reviews to feed into training objectives.

Across the spectrum, training opportunities are being created to integrate efforts for United States Government civilian and military personnel while also bringing in NGOs, international partners, the private sector, and other government actors.

- The Administration is developing a Center for Complex Operations to build and strengthen United States Government capacity for complex operations by coordinating, integrating, and facilitating training, research, and lessons-learned analysis among participating United States Government institutions and centers and to serve as the information clearinghouse for the study of complex operations. As a first step in establishing this entity, a study will be conducted to assess existing training, education, and lessons-learned capabilities and gaps across the United States Government.

### **Equipping**

Equipment required for such operations is largely known and available; the procurement mechanisms exist, and sustainment contracts exist and are being used in field deployments. Following the examination of recent deployments and existing models (such as the USAID Disaster Assistance Response Teams), an interagency team is establishing standardized categories and requirements for equipment packages and logistics platforms to be used in future engagements across the spectrum of remote, high-threat to non-remote, low-threat environments.

- The standards under development include personal equipment, classified and unclassified communications, and security equipment.



- Activity is underway to develop a variety of sustainment platforms to meet transportation, food and water, shelter, power, and medical needs of deployed personnel and to account for maintenance of all equipment. Early purchase and pre-positioning of equipment will be critical to the success of these platforms.

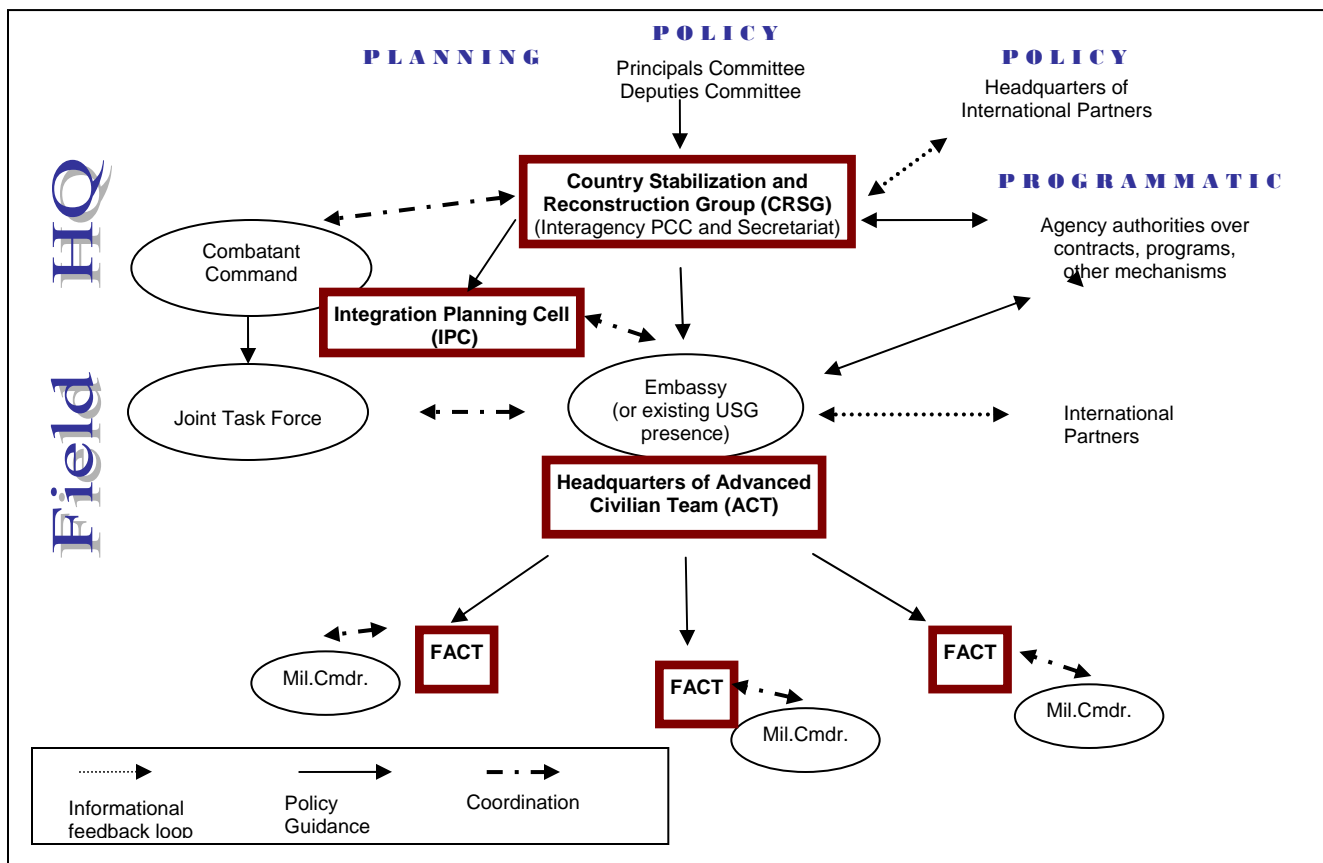
## VI. Conduct

The Interagency Management System (IMS) for Reconstruction and Stabilization will assist Washington policymakers, Chiefs of Mission (COMs), and military commanders in managing complex R&S engagements by ensuring coordination among all United States Government stakeholders at the strategic, operational, and tactical/field levels. This system is being designed for highly complex crises and operations, which have been identified as national security priorities, involve widespread instability, may require military operations, and engage multiple U.S. agencies in the policy and programmatic responses. It is intended to facilitate and support:

- Integrated planning processes for unified United States Government strategic and implementation plans, including funding requests;
- Joint interagency field deployments; and
- A joint civilian operations capability including shared communications and information management.

When a significant crisis occurs or begins to emerge, the Secretary of State may decide to activate the IMS based on a senior-level policy decision within the Administration. The central components of the IMS consist of the:

- Country Reconstruction & Stabilization Group (CSRG): A crisis-specific, Washington-based decision-making body (Policy Coordinating Committee) with a planning and operations staff;
- Integration Planning Cell (IPC): A civilian-planning cell integrated with relevant Combatant Commands or with equivalent multinational headquarters; and,
- Advance Civilian Team (ACT): One or more interagency field management, planning, and coordination teams to support COMs in the field.



**Figure 3.** Interagency Response System for Reconstruction and Stabilization (with U.S. military deployment)

These structures are flexible in size and composition to meet the particular requirements of the situation and integrate personnel from all relevant agencies. Each team is designed to support and augment, not replace, existing structures in Washington, at the Combatant Command, and in the field. S/CRS and DOD are working with interagency representatives to develop an experimentation and exercising strategy to test and refine these models and feed into the development of United States Government policy and operating procedures for such missions.

### Policy Formulation & Implementation Oversight

The CRSG serves as the central coordinating body for the U.S. Government effort. The group consists of senior Administration officials to provide management and oversight of an R&S mission. It is staffed by a Secretariat that supports:

- Preparation of a whole-of-government strategic plan that may build upon earlier interagency scenario-based planning and/or the DOD contingency plan;
- Management of the interagency process that prepares and forwards strategic guidance and direction to U.S. personnel in Washington and in the field; and

- Facilitation of operations support, information management, international/coalition partnership development, and resource mobilization.

### **Integration at the Combatant Command Level**

An Integration Planning Cell (IPC) can be deployed to a Combatant Command (CoCom) Headquarters or the headquarters of a multinational-led mission. The CRSG establishes and deploys an IPC to the CoCom at the request of the Commander through DOD and by direction of the Secretary of State in consultation with the Regional Assistant Secretary. The IPC assists in harmonizing the civilian and military planning processes and operations. The IPC is made up of relevant interagency planners and regional and sectoral experts. The IPC supports the CoCom in integrating the evolving civilian components of the U.S. strategic and implementation plans with the military plan for operations.

### **Field Presence**

To support existing field operations and/or establish new operations, the CRSG may recommend that the Secretary of State deploy an Advance Civilian Team (ACT). The ACT forms the R&S interagency general staff under Chief of Mission (COM) authority to coordinate and support planning and execution of United States Government R&S operations. The team can operate with or without U.S. military involvement.

- The ACT and its operations will integrate with existing Embassy and USAID mission structures and personnel. However, ACTs are structured based on the objectives outlined by the U.S. strategic plan, not according to agencies involved.
- In the absence of an existing United States Government civilian presence in country, the person designated as COM will lead the ACT, which will have the additional task of establishing a more permanent United States Government presence.
- If the COM determines field units are necessary, the ACT can deploy a number of Field Advance Civilian Teams (FACTs), which provide the COM with maximum capacity to implement R&S programs at the provincial or local level. When required, FACTs will integrate with U.S. or other military forces to achieve optimal United States Government/coalition unity of effort.

To realize the deployment of this system, an interagency group continues to develop appropriate staffing levels, training requirements, equipment needs, and budget figures. The largest

expense is likely to be the provision of security for staff in non-permissive environments.

- Current conceptions of force protection in these environments often leave diplomats, military personnel, and development specialists isolated from host populations and thus at greater risk.
- The Administration is conducting an extensive review of security protocols and procedures in order to reduce the negative impact of security costs and protocols on the successful execution of policy, while continuing protection of U.S. personnel.

The IMS goes a long way toward improving the coordination of activities and ensuring unity of effort in R&S missions. The Administration continues work to improve its ability to execute a full complement of missions successfully by examining solutions to address:

1. Further integration and reconciliation between the predominant bilateral framework for diplomatic relations and the regional U.S. military Combatant Commands, as well as the need for a broader approach that encompasses the security challenges of the 21st century that are regional in nature.
2. Employment of applicable portions of the IMS short of full mobilization to realize the benefits and cost savings of prevention before conflicts become crises in order to foster planning for, coordinating, and funding prevention activities.

### **In-Field Acquisition**

The ability of the United States Government to contract for services, materials, and support during operations overseas is critical to the success of stabilization, reconstruction, and other related missions. Proper advanced planning, strategic and operational level coordination, and in-field management structures, as outlined above, will significantly improve the ability of the United States Government to procure and manage services and programs effectively in the field. Within these structures, coordinated decision-making will eliminate gaps or duplication of effort, and improved monitoring and evaluation of the achievement of objectives at the strategic, operational, and tactical levels will provide for instant feedback so programs, services, and projects can be adjusted.

Interagency working groups developing new models and proposals for enhanced United States Government capabilities are building upon lessons learned from past and current operations, including

in the arena of contract management. Current United States Government-wide and beyond activities to improve in-field acquisition and legislative proposals the Administration has submitted include:

- Inclusion of contracting and procurement personnel and acquisition planning as essential criteria to the coordination of implementation plans;
- Streamlining and adapting acquisition regulations for contingencies;
- DOD establishment of an institution to serve as the DOD focal point for leveraging the private sector for CoComs through contingency-acquisition planning, requirements definition, coordination, and execution;
- Development of shared contracting mechanisms and regulations especially for sustainment and logistics support. USAID has already enhanced working relationships and developed agreements with the U.S. Army Corps of Engineers; and
- Establishment of an agreed upon contractor code of conduct.

### **Information Sharing**

The development of common standards, lexicon, and interoperable systems will help resolve inconsistencies fostered by the variety of information management systems used across the United States Government and among partners of the United States. Information management specialists within the United States Government are exploring the extensive possibilities of new information management systems such as wikis, blogs, chats, and other technologies to enable broader outreach to partners, enable collaboration, support reachback, and improve information flow.

Additionally, partnerships are being created with organizations that have existing portals, websites, and other information-sharing resources to leverage their expertise and create synergy with United States Government-sponsored efforts. As part of implementing DoD Directive 3000.05, DOD is experimenting, along with other United States Government partners, with various tools to support information-sharing during operations and to improve security classification guidance and training to facilitate sharing of information with key partners who are critical to achieve United States Government objectives.

## **VII. Key Conclusions**

Through various interagency processes, the Executive Branch of the United States Government is improving its posture for meeting the national security challenges of the 21<sup>st</sup> century. Key conclusions and recommendations for consideration by Congress and the Executive Branch as a way ahead to work together to improve interagency support follow.

### **Congress**

- Consider proposals for the creation of flexible funding authorities, new personnel mechanisms, security regulations, and improved ability to partner with host nation, international, and non-government actors as they are submitted by the Administration.
  - For example, current bills in the House and Senate regarding reconstruction and stabilization capacity (H.R.1084 and S.613) address many of these needs.
- Fund the Administration's FY08 request for rebuilding and stabilization activities and personnel.

### **Executive Branch** (with support from Congress)

- Fully implement Presidential objectives and DOD Directive 3000.05. Work with Congress to ensure that the United States Government entities with responsibilities for preparing, planning, and conducting national security operations are properly resourced and directed to implement and oversee the range of tasks required.

### **Plan**

- Establish shared assessment methodologies.
- Further develop United States Government civilian capabilities for planning at the strategic, operational, and tactical levels in support of longer-term contingency planning and crisis-action planning.
- Integrate United States Government civilian planning with military planning.
- Continue to develop a skilled cadre of civilian planners.

**Prepare**

- Increase United States Government civilian-surge capacity including Active personnel (within existing Departments and Agencies), develop Standby systems to access additional United States Government personnel, and develop a Civilian Reserve to draw on expertise resident outside of the United States Government during contingencies.
- Continue to develop an integrated United States Government training strategy for national security missions to address standards for steady-state, planning, pre-deployment, and on-the-job training and best practices collection.
- Develop interoperability standards as well as a central platform and funding for equipping personnel deployed in support of missions.

**Conduct**

- Institutionalize and further refine the Interagency Management System for Reconstruction and Stabilization through experimentation to develop related policies, regulations (particularly security), and operating procedures and lessons learned for application to other national security missions.
- Support information-sharing initiatives across the United States Government and partners beyond, particularly in the development of best practices, to ensure that U.S. operations are built on the latest lessons and assessments.